



Substitute Form 1449A-PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Application Number	10/781,871
Filing Date	February 20, 2004
First Named Inventor	Piero BONISSONE et al.
Art Unit	4172
Examiner Name	James A VEZERIS
Attorney Docket Number	52493.000365

Sheet

1 of 7

U.S. PATENT DOCUMENTS

*Examiner Initials	Cite No.	DOCUMENT NUMBER Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/J.A.V./		US- 5126936	06-30-1992	Champion et al.	
		US- 5148365	09-15-1992	Dembo	
		US- 5195026	03-16-1993	Nonaka	
		US- 5202827	04-13-1993	Sober	
		US- 5210687	05-11-1993	Wolfberg	
		US- 5347446	09-19-1994	Iino	
		US- 5351184	09-27-1994	Lu	
		US- 5550734	08-27-1996	Tarter	
		US- 5587897	12-24-1996	Iida	
		US- 5590037	12-31-1996	Ryan	
		US- 5659667	08-19-1997	Buescher	
		US- 5682465	10-28-1997	Kil	
		US- 5704044	12-30-1997	Tarter	
		US- 5732397	03-24-1998	DeTore	
		US- 5784696	07-21-1998	Melinikoff	
		US- 5799287	08-25-1998	Dembo	
		US- 5802500	09-01-1998	Ryan	
		US- 5875437	02-23-1999	Atkins	
		US- 5884283	03-16-1999	Manos	
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		US- 5918217	06-29-1999	Maggioncalda	
		US- 5926792	07-20-1999	Koppes	

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DATE CONSIDERED

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/J.A.V.		US- 5930762	07-27-1999	Masch	
		US- 5991744	11-23-1999	DiCresce	
		US- 5999917	12-07-1999	Facciani	
		US- 6003018	12-14-1999	Michaud	
		US- 6018722	01-25-2000	Ray et al.	
		US- 6032109	02-28-2000	Ishii	
		US- 6049772	04-11-2000	Payne	
		US- 6078904	06-20-2000	Rebane	
		US- 6092050	07-18-2000	Lungren	
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		US- 6138102	10-24-2000	Hinckley	
		US- 6161096	12-12-2000	Bell	
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		US- 6240399	05-29-2001	Frank et al.	
		US- 6275814	08-14-2001	Giasante et al.	
		US- 6282520	08-28-2001	Schirripa	
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		US- 6360191	03-19-2002	Koza et al.	

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		US- 6373485	04-16-2002	Sowizral	
		US- 6393409	05-21-2002	Young et al.	
		US- 6405179	06-11-2002	Rebane	
		US- 6424952	07-23-2002	Yinbal	
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		US- 6470321	10-22-2002	Cumming	
		US- 6601044	07-29-2003	Wallman	
		US- 6611807	08-26-2003	Bernheim	
		US- 6684190	01-27-2004	Powers	
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		US- 6895390	05-17-2005	Hagan	
		US- 7089206	08-08-2006	Martin	
		US- 20010014875	08-16-2001	Young et al.	
		US- 20010051936	12-13-2001	Michalewicz	
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		US- 20020038272	03-28-2002	Menchero	
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		US- 20020059294	05-16-2002	Bottarelli	
		US- 20020082872	06-27-2002	Aoki	
		US- 20020091605	07-11-2002	Labe, Jr.	
		US- 20020091613	07-11-2002	Kendall	
		US- 20020111780	08-15-2002	Sy	
		US- 20020116158	08-22-2002	Heching	
		US- 20020116309	08-22-2002	Keyes	
		US- 20020123951	09-05-2002	Olsen et al.	
		US- 20020123953	09-05-2002	Goldfarb	
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		US- 20020129332	09-12-2002	Svensson	
		US- 20020138299	09-26-2002	Nations	
		US- 20020138383	09-26-2002	Rhee	
		US- 20020143682	10-03-2002	Bergmann	
		US- 20020147671	10-10-2002	Sloan et al.	
		US- 20030139993	07-24-2003	Feuerverger	
		US- 20030144944	07-31-2003	Kalt et al.	
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		US- BLANK			
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		US- 20040059609	03-25-2004	Chatlain	
		US- 20040078244	04-22-2004	Katcher	
		US- 20040078248	04-22-2004	Altschuler	
		US- 20040111278	06-10-2004	Brown	
		US- 20040181479	09-16-2004	Zosin et al.	
		US- 20040186804	09-23-2004	Chakraborty	
		US- 20040186814	09-23-2004	Chalermkraivuth	
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		US- 20040225536	11-11-2004	Schoen	
		US- 20040243499	12-02-2004	Bateson	
		US- 200500655250	03-10-2005	Wolfgang	
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		US- 20050187845	08-25-2002	Eklund et al.	
		US- 20050187846	08-25-2005	Subbu et al.	
		US- 20050187847	08-25-2005	Bonissone et al.	
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		US- 20020032585	03-14-2002	Keyes	
		US			
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FOREIGN PATENT DOCUMENTS

*Examiner Initial	Cite No.	FOREIGN PATENT DOCUMENT		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	TRANSLATION	
		Country Code Number-Kind Code (if known)					YES	NO
		JP	7-85110 (Abstract)	03-031-1995	Nobuaki		<input type="checkbox"/>	<input type="checkbox"/>
		JP	63-279301 (Abstract)	11-16-1988	Masahiro et al.		<input type="checkbox"/>	<input type="checkbox"/>
		EP	0356191 A2	02-28-1990	Freedman et al.		<input type="checkbox"/>	<input type="checkbox"/>
		EP	0505087 A2	09-23-1992	Kumahora et al.		<input type="checkbox"/>	<input type="checkbox"/>
		JP	6-95707 (Abstract)	04-08-1994	Minoru et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	95/25295	09-21-1995	Krist et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	96/18162	06-13-1996	Atkins		<input type="checkbox"/>	<input type="checkbox"/>
		WO	98/13776	04-02-1998	Masch		<input type="checkbox"/>	<input type="checkbox"/>
		WO	99/23592	05-14-1999	Young et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	99/39290	08-05-1999	Pellegrinelli et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	99/49399	09-30-1999	Lang		<input type="checkbox"/>	<input type="checkbox"/>
		JP	2001-76057 (Abstract)	03-23-2001	Norio		<input type="checkbox"/>	<input type="checkbox"/>
		WO	01/31481 A2	05-03-2001	Bullard et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	01/39005 A2	05-31-2001	Dembo et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	01/55890 A2	08-02-2001	Herschap et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	01/55939 A2	08-02-2001	Caruana et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	01/77872 A2	10-18-2001	Plumer et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	01/84355 A2	11-08-2001	Narang et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	01/93153 A1	12-06-2001	Seidel et al.		<input type="checkbox"/>	<input type="checkbox"/>
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OTHER DOCUMENTS - NON-PATENT LITERATURE DOCUMENTS

*Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and-or country where published	TRANSLATION	
			YES	NO
		JPMorgan/Reuters RiskMetrics™ - Technical Documents Fourth Edition, Dec. 17, 1996	<input type="checkbox"/>	<input type="checkbox"/>
		Jorge Mina & Andrew Ulmer Delta-Gamma Four Ways August 31, 1999	<input type="checkbox"/>	<input type="checkbox"/>
		Stefan Pichler & Karl Selitsch A Comparison of Analytical VaR Methodologies for Portfolios That Include Options December 1999	<input type="checkbox"/>	<input type="checkbox"/>
		Jorge Mina & Jerry Yi Xiao return to RiskMetrics: The Evolution of a Standard April 2001	<input type="checkbox"/>	<input type="checkbox"/>
		Eklund, Neil Holger White, Multiobjective visible spectrum optimization: A genetic algorithm approach, Rensselaer Polytechnic Institute, Volume 6311B of Dissertations Abstracts International, 2002	<input type="checkbox"/>	<input type="checkbox"/>
		Abbass, H.A., Sarker, R Newton, C, PDE:a Pareto-frontier differential evolution approach for multi-objeective optimization problems, Proceedings of the 2001 Congress on Evolutionary Computation, volume 2, IEEE, May 27-30, 2001	<input type="checkbox"/>	<input type="checkbox"/>
		Ignizio, James, An Algorithm for Solving the Linear Goal Programming Problem by Solving Its Dual, The Journal of the Operational research Society, Vol. 36, No. 6 (June 1985) pp 507-515-	<input type="checkbox"/>	<input type="checkbox"/>
		Masud, Abu, Interactive Sequential Goal Programming, The Journal of the Operational Research Society, Vol. 32, No. 5 (May 1981), pp. 391-400	<input type="checkbox"/>	<input type="checkbox"/>
		Bellmore, M, Generalized Penalty function Concepts in Mathmatical Optimization, Operations research, Vol. 18, No. 2 (March-April 1970), pp. 229-252	<input type="checkbox"/>	<input type="checkbox"/>
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		Iyer, Naresh Sundaram, "A family of dominance filters for mulitple criteria decision making: Chossing the right filter for a decision situation". Proquest Dissertations and Theises 2001. Section 0168, Part 0984 169 pages: [Ph.D. dissertation]. United States -- Ohio: The Ohio State University: 2001. Publication Number: AAT 3035522.	<input type="checkbox"/>	<input type="checkbox"/>

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